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PTO/SB/21 (09-04)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/791,709	
	Filing Date	03/04/2004	
	First Named Inventor	Jen-Chau Wu	
	Art Unit	Unknown	
	Examiner Name	Unknown	
Total Number of Pages in This Submission	10	Attorney Docket Number	UECP0012USA

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Statement under 37 CFR 3.73(b) 2. A copy of Assignment
Remarks 1. Revocation of power of attorney with new power of attorney 2. Notification of loss of entitlement to small entity status according to 37 CFR 1.27 (g)(2) 3. Request to supplement the deficiency of the basic filing fee and excessive claim fee pursuant to 37 CFR 1.27 (c)		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	North America Intellectual Property Corporation		
Signature	<i>Winston Hsu</i>		
Printed name	Winston Hsu		
Date	FEB 03 2005	Reg. No.	41,526

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:			
Signature			
Typed or printed name		Date	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (12-04)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL
For FY 2005☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 455.00**Complete if Known**

Application Number	10/791,709
Filing Date	03/04/2004
First Named Inventor	Jen-Chau Wu
Examiner Name	Unknown
Art Unit	Unknown
Attorney Docket No.	UECP0012USA

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 50-3105 Deposit Account Name: North America Intellectual Property Corp.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	Multiple Dependent Claims	Fee (\$)	Fee Paid (\$)
- 20 or HP =	x	=				
HP = highest number of total claims paid for, if greater than 20						
Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)			
- 3 or HP =	x	=				
HP = highest number of independent claims paid for, if greater than 3						

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
- 100 =	/ 50 =	(round up to a whole number) x	=	

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other: Supplement the deficit of the issue fee

455.00

SUBMITTED BY

Signature	<u>Winston Hsu</u>	Registration No. (Attorney/Agent)	41,526	Telephone	302-729-1562
Name (Print/Type)	Winston Hsu	Date	FEB 03 2005		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



9207 02US

PTO/SB/82 (09-04)

Approved for use through 11/30/2005. OMB 0651-0035
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**REVOCATION OF POWER OF
ATTORNEY WITH
NEW POWER OF ATTORNEY
AND
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	10/791,709
Filing Date	03/04/2004
First Named Inventor	Jen-Chau Wu
Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	UECP0012USA

I hereby revoke all previous powers of attorney given in the above-identified application.☐ A Power of Attorney is submitted herewith.**OR**☒ I hereby appoint the practitioners associated with the Customer Number: **027765**☒ Please change the correspondence address for the above-identified application to:☒ The address associated with
Customer Number:**027765****OR**☐ Firm or
Individual Name

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Signature

Name

Kuo-Hsin Huang, Chairman

Date

FEB 03 2005

Telephone

+886-3-567-8000

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ *Total of **1** forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



920702US

PTO/SB/96 (09-04)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Jen-Chau Wu; Cheng-Chung Young; Rong-Yih Hwang; Chung-Cheng Tu

Application No./Patent No.: 10/791,709 Filed/Issue Date: 03/04/2004

Entitled: ESD Protection Configuration and Method for Light Emitting Diodes

United Epitaxy Company, Ltd., a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Kuo-Hsin Huang
Signature
Kuo-Hsin Huang
Printed or Typed Name
Chairman
Title

FEB 03 2005

Date
+886-3-567-8000
Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

WHEREAS, I (we), **Wu, Jen-Chau; Young, Cheng Chung; Hwang, Rong-Yih; Tu, Chung-Cheng**

whose post office address(es) appear below, hereinafter referred to as ASSIGNOR, is (are) the owner(s) of certain new and useful improvements in

ESD protection configuration and method for light emitting diodes

(Hereinafter referred to as the INVENTION) for which an application for United States Letters Patent was

- ☐
- executed on even date herewith

☐ executed on:

☐ filed on:

Serial No.:

- ☐
- established by PCT International Patent Application No.:

WHEREAS, United Epitaxy Company, Ltd.

whose post office address is **9F, No. 10, Li-Hsin Rd, Science-based Industrial Park, Hsinchu, Taiwan, R.O.C.**

hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to the same in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, receipt of which is hereby acknowledged, I (we), ASSIGNOR, by these presents do sell, assign and transfer unto said ASSIGNEE, the entire right, title, and interest in and to said INVENTION and application throughout the United States of America, including any and all United States Letters Patent granted on any division, continuation, continuation-in-part and reissue of said application; and the entire right, title and interest in and to the said INVENTION throughout the world, including the right to apply for patents and inventor certificates in respect thereof and to claim priority pursuant to rights accorded ASSIGNOR under the terms of the Paris International Convention and all other available international conventions and treaties; and the entire right, title and interest in and to any and all patents, patents of addition, utility models, patents of importation, revalidation patents and inventor certificates which may be granted throughout the world in respect of said INVENTION.

ALSO, ASSIGNOR hereby agrees to executed any documents that legally may be required in connection with the filing, prosecution and maintenance of said application or any other patent application(s) or inventor certificate(s) in the United States and in foreign countries for said INVENTION, including additional documents that may be required to affirm the rights of ASSIGNEE is and to said INVENTION, all without further consideration. ASSIGNOR also agrees, without further consideration and at ASSIGNEE's expense, to identify and communicate to ASSIGNEE at ASSIGNEE's request documents and information concerning the INVENTION that are within ASSIGNOR's possession or control, and to provide further assurances and testimony on behalf of ASSIGNEE that lawfully may be required of ASSIGNOR in respect of the prosecution, maintenance and defense of any patent application or patent encompassed within the terms of this instrument. ASSIGNOR's obligations under this instrument shall extend to ASSIGNOR's heirs, executors, administrators and other legal representatives.

ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent referred to above to ASSIGNEE, as the ASSIGNEE of the entire right, title and interest in and to the same, for ASSIGNEE's sole use and behoof; and for the use and behoof of ASSIGNEE's legal representatives and successors, to the full end of the term for which such Letters Patent may be granted, as fully and entirely as the same would have been held by ASSIGNOR had this assignment and sale not been made.

ASSIGNOR authorizes **BRUCE H. TROXELL** to insert or complete any information in this document needed to effect its recordal in the U.S. Patent and Trademark Office.

<i>Assignor Name</i>	Wu, Jen-Chau	<i>Address</i> No. 9, Lane 212, Science-based Park Rd, Hsinchu, Taiwan, R.O.C.
<i>Where Signed</i>	Taiwan, R.O.C.	
<i>Date</i>	Nov. 24, 2003	<i>Signature</i> - Wu, Jen-Chau 吳仁劍簽正文名
(Notarization preferred but not required)		ss.
Before me personally appeared said _____ _____ And acknowledged this instrument to be his (her) free act and deed this _____ day of _____ , 2001.		
_____ <i>Notary Public</i>		
My Commission Expires: _____		

☒ Continued on Next page

ASSIGNMENT

Page: 2

Assignor Name	Young, Cheng Chung	Address	No.26, Lane 47, Fude St., Wunde Village, Huatan Township, Changhua County 503, Taiwan, R.O.C.
Where Signed	Taiwan, R.O.C.		
Date	Nov. 24, 2003	Signature	→ 楊正忠 簽名

ss.

(Notarization preferred but not required)

Cheng Chung Young

Before me personally appeared said

And acknowledged this instrument to be his (her) free act and deed this

day of

, 2001.

Notary Public

My Commission Expires:

Assignor Name	Hwang, Rong-Yih	Address	No.6, Alley 4, Lane 122, Sec. 2, Jhongsing Rd., Jhudong Township, Hsinchu County 310, Taiwan, R.O.C.
Where Signed	Taiwan, R.O.C.		
Date	Nov. 24, 2003	Signature	Rong-Yih Hwang

ss.

(Notarization preferred but not required)

Before me personally appeared said

And acknowledged this instrument to be his (her) free act and deed this

day of

, 2001.

Notary Public

My Commission Expires:

Assignor Name	Tu, Chung-Cheng	Address	5F, No.119, Desing W. Rd., Shihlin District, Taipei City 111, Taiwan, R.O.C.
Where Signed	Taiwan, R.O.C.		
Date	Nov. 24, 2003	Signature	Chuan Cheng Tu

ss.

(Notarization preferred but not required)

Before me personally appeared said

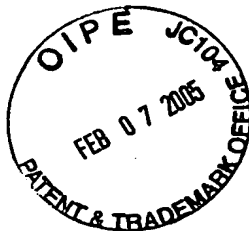
And acknowledged this instrument to be his (her) free act and deed this

day of

, 2001.

Notary Public

My Commission Expires:



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jen-Chau Wu et al.

5 Examiner: Unknown

Filing Date: 03/04/2004

Art Unit: Unknown

App. No.: 10/791,709

Docket No.: UECF0012USA

Assignee: United Epitaxy Company, Ltd.

10 Title: ESD Protection Configuration and Method for Light Emitting iodes

To: Commissioner of Patents

P.O. Box 1450

Alexandria, VA 22313-1450

15 Subject: Notification of loss of entitlement to small entity status according to
37CFR 1.27 (g)(2)

Dear Sir:

20 This is a notification according to 37CFR 1.27 (g)(2) that the small entity status
of the assignee indicated above is not longer appropriate. The employee number of
the assignee has increased and is more than 500 persons recently. The assignee of the
present application is thus no longer fit the small entity standards set forth in 13 CFR
25 part 121.

30

Sincerely yours,

Winston Hsu

Date: FEB 03 2005

5 Winston Hsu, Patent Agent No. 41,526
P.O. BOX 506, Merrifield, VA 22116, U.S.A.
Voice Mail: 302-729-1562
Facsimile: 806-498-6673
e-mail : winstonhsu@naipo.com

10

Note: Please leave a message in my voice mail if you need to talk to me. The time difference between D.C. and Taiwan is 13 hours. The preferred time period for telephone conversation is 7 AM (or earlier) – 11 AM, D.C. time.



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant :	Jen-Chau Wu	Examiner :	Unknown
Filing Date:	03/04/2004	Art Unit :	Unknown
App. No. :	10/791,709	Docket No.:	UECP0012USA

Title: ESD PROTECTION CONFIGURATION AND METHOD FOR LIGHT
EMITTING DIODES

To: Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Subject: Request to supplement the deficiency of the basic
filing fee and excessive claim fee pursuant to
37 CFR 1.27(c)

Dear Sir:

The fee \$495.00 (\$385- Filing fee; \$70- Excessive claim fee; \$40- Assignment Recordation Fee) of the above-identified application was paid on 3/4/2004. But the entity status of the assignee was mistakenly selected as a small entity on the fee transmittal. The entity status should be a large entity. And the undersigned agent filed Notification of loss of entitlement to small entity status according to 37 CFR 1.27 (g)(2) on 2/3/2005.

The undersigned agent hereby requests to supplement the deficiency of the filing fee and the excessive claim fee pursuant

to 37 CFR 1.27(c). Please deduct the balance \$455.00 from the deposit account 50-3015. Your assistance is highly appreciated.

Respectfully submitted,

Winston Hsu

Date: FEB 03 2005

Winston Hsu, Patent Agent No. 41,526

P.O. BOX 506, Merrifield, VA 22116, U.S.A.

Voice Mail: 302-729-1562

Facsimile: 806-498-6673

e-mail : winstonhsu@naipo.com

Note: Please leave a message in my voice mail if you need to talk to me. The time difference between D.C. and Taiwan is 13 hours. The preferred time period for telephone conversation is 7 AM (or earlier) - 11 AM, D.C. time.